

North Carolina Criminal Justice Data Integration Pilot Program

**Quarterly Report
January 2009**

**North Carolina
Office of the State Controller**

January 1, 2009

Table of Contents

I. Background	2
II. Criminal Justice Pilot Program for Wake County	3
II (A). Objective	3
II (B). Summary	4
II (C). Approach	5
II (D). Accomplishments	6
II (E). Challenges	9
II (G). Next Steps.....	13
II (H). Funds – Criminal Justice Data Integration Pilot Program	13
Appendix	
A. SESSION LAW 2007-323, HOUSE BILL 1473	14
B. SESSION LAW 2008-107, HOUSE BILL 2436	16
SESSION LAW 2008-118, HOUSE BILL 2438	18
C. Criminal Justice Pilot Program Committee Membership	19
D. Criminal Justice Advisory Committee Report – September 24, 2008	22

I. Background

The State Controller's Office was charged with the responsibility of the development of a statewide collaborative effort to transform the business in North Carolina by modernizing and standardizing key business processes. The BEACON Data Integration Program emerged with support from Session Law 2007-323, House Bill 1473 (Appendix A), and consequentially the development of a Strategic Plan for Statewide Data Integration. (See also Session Law 2008-107, House Bill 2436 - Appendix B).

Ms. Kay Meyer has been hired as the Project Director for the Data Integration Initiative and will provide state resource continuity for the Pilot Program. Ms. Carol Burroughs continues to serve as the Project Manager for the Pilot Program. Mr. George Ake and the National Institute of Justice are providing technical support and discussions are underway with the NCSU Public Safety Leadership Program for appropriate support services.

A goal of BEACON Data Integration Program is to provide a statewide framework that equips agencies with enterprise analytical capabilities for improved decision making. The "Plan" calls upon senior leadership to champion a cultural shift promoting data sharing and encouraging business leaders to become stewards rather than owners of the State's data assets.

Data integration's foundation is based on merging and reconciling dispersed data for analytical purposes through the use of standardized tools to support quick, agile, event-driven analysis for business. In short, its mission is to transform data into meaningful information for business decisions.

In 2008 the number of disparate data sources and lack of integration across the criminal justice continuum was brought to the public's attention. In response, and in alignment with the BEACON Data Integration Strategic Plan, the General Assembly directed the Office of the State Controller, in cooperation with the State Chief Information Officer, and the BEACON Program Steering Committee, to develop and implement a Criminal Justice Data Integration Pilot Program in Wake County. The pilot program's goal is to provide criminal justice professionals with access to timely, complete, and accurate information for enhanced decision making.

This report summarizes the Wake County Criminal Justice Data Integration Pilot Program activities to date.

II. Criminal Justice Pilot Program for Wake County

Session Law 2008-107, House Bill 2436 recognized the urgent need for state-of-the-art integrated criminal justice information and mandated:

- The development and implementation of a framework for sharing of critical information as soon as possible
- The Criminal Justice Advisory Committee, the Department of Justice, the Administrative Office of the Courts, the Department of Juvenile Justice and Delinquency Prevention, the Department of Correction, the Department of Crime Control and Public Safety, the Department of Transportation, and local law enforcement agencies shall fully cooperate with the Office of the State Controller and the State Chief Information Officer, to identify the informational needs, develop a plan of action, provide access to data, and implement secure integrated applications for information sharing of criminal justice and corrections data
- The development and implementation of a Criminal Justice Data Integration Pilot Program in Wake County on May 1, 2009

The pilot shall:

- integrate and provide up-to-date criminal information in a centralized location via a secure connection
- comply with all necessary security measures and restrictions to ensure that access to any specific information held confidential under Federal and State law shall be limited to authorized persons

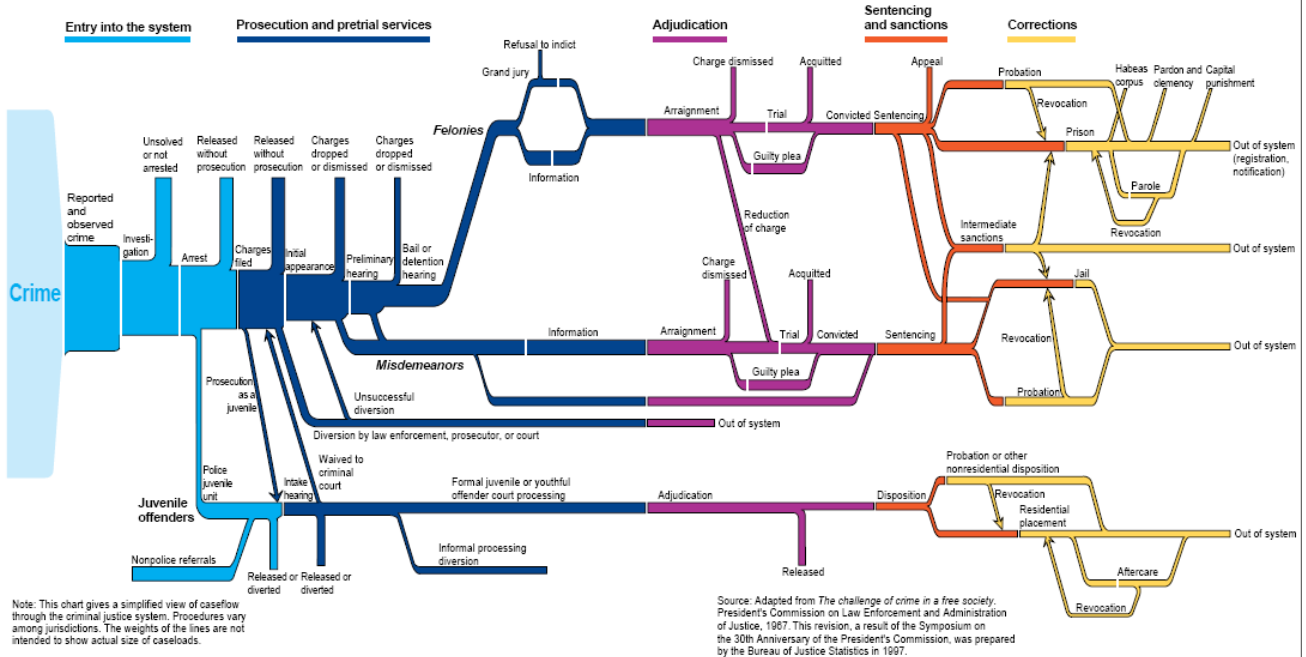
II (A). Objective

The objective of the data integration criminal justice pilot program for Wake County is to identify the criminal justice informational needs and develop an integrated solution that is scalable for use by State and local criminal justice professionals.

II (B). Summary

The criminal justice continuum is complex with multiple rules and decisions points. The following process map developed by US Department of Justice reflects the sequence of events.

What is the sequence of events in the criminal justice system?



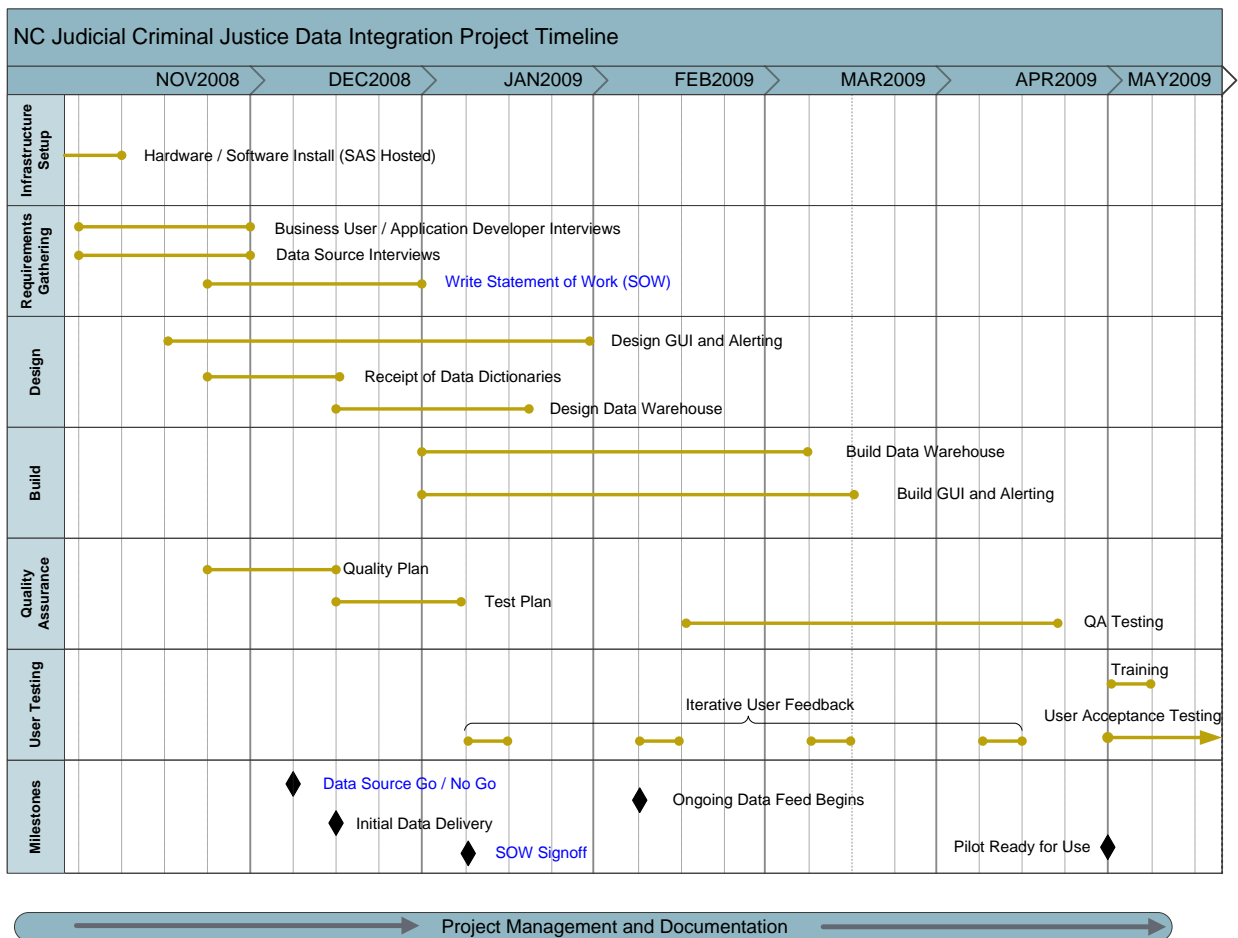
This map demonstrates the number of decision points within the criminal justice workflow. Each decision point represents a scenario where valid, up-to-date information is critical to ensuring public safety. North Carolina utilizes multiple systems and applications, resulting in varied layers of disparate data.

The Criminal Justice Pilot Program's goal is to integrate disparate criminal justice data into meaningful information which can be utilized by law enforcement and others involved in the administration of justice to make better informed decisions.

II (C). Approach

The following are collaborating in the development of the Criminal Justice Pilot Program: the BEACON Program Steering Committee, the Criminal Justice Advisory Committee, and the Criminal Justice Pilot Program Project Team. A complete listing of the team members can be found in Appendix C.

The success of the Criminal Justice Pilot Program for Wake County is dependent on the State and the SAS teams working efficiently together. To keep the project team on task, the following project timeline has been established. This grid reflects phases of the project and the time allotted to support activities.



II (D). Accomplishments

A number of major accomplishments were realized during the months of October, November, and December:

a. Vendor Selection

Session Law 2008-107, House Bill 2436, Section 6.8.(c) 4, states “To conduct integration activities as approved by the BEACON Program Steering Committee. The State Chief Information Officer shall utilize current enterprise licensing to implement these integration activities.” In accordance with this directive, the State CIO with support from other state agencies reviewed the existing enterprise licensing with SAS Institute Inc., (SAS) and negotiated an expansion of the software license to include the Judicial Branch.

Included, at no additional charge, within this enterprise license agreement was the application development of the Wake County Criminal Justice Pilot Program. To support the development of the pilot, SAS agreed to analyze the State’s business needs, identify the data sources, integrate the offender data, and build a criminal justice pilot application for Wake County.

b. Development Environment Installation

The technical environment has been established for the design and development of the pilot application. SAS is hosting this environment through April 30, 2009. This technical environment will support the iterative development process and capacity for 30 concurrent users.

c. Business Needs Identification

The Criminal Justice Advisory Committee’s Criminal Justice Data Integration Project Preliminary Report (Appendix D) identified the business needs associated with the delivery of criminal justice information. In summary the report focused on the following:

1. An integrated person centric view of an offender.
 - The ability to verify the identity of an offender through visual recognition.

The Advisory Committee has requested access to images to support the criminal justice professional’s ability to confirm the identity of person.

- The ability to log into a single application with access to a comprehensive easy to read criminal history.

Criminal history information found in Federal, State and local sources should be combined and presented in user friendly format.

- The criminal history view should include:
 - Outstanding warrants and orders for arrest
 - Probation status and performance information
 - Juvenile offense history
 - Domestic violence protective order status
 - Sex offender information
 - Immigration status
 - Incarceration status

2. The ability for criminal justice professionals to monitor an offender's status through an integrated "offender watch" application.

The integrated offender watch application should deliver messages to criminal justice professionals when an offender has had a change in status. For example, a probation officer should receive a message when a probationer on their caseload has an infraction recorded.

d. Requirements Definition and Approval

The Advisory Committee's report served as the baseline for the requirements definition phase. During the last 3 months, the SAS technical team investigated the business needs and associated data stores. This analysis focused on understanding the various sources of offender information and how this data can be used to support criminal justice professionals' needs.

On December 10th, a requirements review meeting was held for all project stakeholders. During this session, the project team reviewed a summary of the requirements and discussed the delivery of integrated information through web enabled screens. After additional review from the project team, the requirements matrix was approved on December 19, 2008.

The following key concepts were identified during the requirements phase.

- a. Offender information is stored in Federal, State and local databases.
- b. Data integration is necessary to improve information delivery to criminal justice professionals. A single portal integrating criminal justice data would be more efficient and offer a streamlined approach to offender centric information.
- c. The Criminal Justice Data Integration Wake County Pilot will be designed to support:
 - Law Enforcement Officers
 - Magistrates
 - District Attorneys
 - Jail and Prison Officers
 - Probation and Parole Officers
- d. Existing State applications will benefit from the data integration pilot. Agencies will be positioned to incorporate integrated pilot information into their applications to enhance existing business processes.

The following agencies are working with SAS to define these requirements:

- Department of Corrections (DOC)
 - Administrative Office of the Courts (AOC)
 - Department of Juvenile Justice and Delinquency Prevention (DJJDP)
 - Department of Justice (DOJ)
 - Department of Transportation (DOT/DMV)
- e. The delivery of criminal justice information must be secured.
 - Role based and data element security will be employed to ensure only those with the proper authorization have been granted access to the information.
 - Criminal Justice Information Service (CJIS) security will be defined and enforced where applicable.

e. Data Source Identification

The project team has identified the following application programs as data sources which support the pilot's requirements.

Administrative Office of the Courts Information System
Administrative Office of the Courts On-line Warrants System (NCAWARE)
Department of Correction Offender Management System (OPUS)
Department of Transportation Division of Motor Vehicle Information Systems
Wake County Sherriff Jail Management System
Wake County Sherriff Records Management System
Governors' Crime Control and Public Safety Statewide Automated Victim Assistance and Notification Information System (SAVAN)
State Bureau of Investigation DCI Network and Message Switch

f. Preliminary Architectural Design

SAS evaluated the State's requirements and initiated the development of a preliminary design of the integrated framework for the pilot program. Discussions continue to refine the approach.

II (E). Challenges

The integration of data across disparate applications brings with it many challenges. The following issues have been identified:

a. Project Timeline

The project timeline is very aggressive. As a result, any delay in the project work plan could negatively impact the pilot delivery. The project is being closely monitored to identify any issues. Project risk management process is being employed to assess the potential impact and develop project alternatives and mitigation approaches.

b. Data Accessibility

While each agency has identified its data sources, many specifics must be defined to ensure successful integration.

i. Unique Offender Identifiers

Each disparate State system maintains records on offenders using different identifiers. The data integration project team must develop matching algorithms and probability values to associate and integrate records based on available identifiers.

Criminal justice professionals concur that biometric identifiers (e.g. fingerprints) represent the only 100% verifiable method for data integration. Within North Carolina's criminal justice organizations, fingerprint images are not currently recorded for every offender and/or incident. Project team discussions suggest that expanding the scenarios during which fingerprints are captured and stored would enhance the confidence with which future data can be integrated.

ii. Data Security

The security of offender information is imperative. Within agency applications, some information is considered public information (e.g. sex offender registry, incarceration status), while other information is tightly secured and cannot be shared unless the law enforcement professional accessing the information meets the required certification.

The SAS project team has asked each agency to identify the specific security and confidentiality requirements associated with the data found in their applications. Upon the receipt of these requirements, data access, storage and delivery rules will be developed.

The following issue is under review:

SBI follows CJIS (FBI) security policy guidelines in the dissemination of information available through the DCI network. The integration and deployment of this information under a new framework requires a revision of business processes, training and security roles.

The SBI is evaluating data content, security considerations and user certification to determine an appropriate integration methodology. The project team is working with national contacts to understand best practices to assist in the integration of DCI data.

iii. Architectural Design

The DCI network architecture is based on a message switch that results in interactive communication between the criminal justice professional and the network.

The DCI network accepts a query from the user and replies with a series of message responses. Based on those responses, the user initiates additional queries for further information. The pilot application must determine the best method for accommodating the interactive nature of the DCI network and consolidating messages for presentation within the integrated pilot application.

iv. Contracts and Grant Funding

The use of data from Statewide Automated Victim Assistance and Notification Information System (SAVAN) is subject to current contractual and funding constraints.

SAVAN is managed by a third party vendor and is partially funded with federal dollars. Currently the Governor's Crime Commission (GCC) is reviewing the contracts and memorandums of agreements (MOUs) that exist between Appriss, the third party vendor and the GCC, the GCC and their federal grant funding source, and the GCC and the local sheriffs. The GCC's General Counsel will be developing a plan of action to amend existing contracts in support of the integration of the SAVAN data into the Criminal Justice Pilot.

c. Enterprise Criminal Justice Vision

The State agencies supporting the criminal justice systems continue to work autonomously to develop and improve existing applications to support their primary users. Projects currently underway must be evaluated for inclusion in the pilot versus the deferment to a later phase.

Ongoing initiatives identified during the requirements phase include:

- The expansion of the SAVAN VINE module to include the development a protective order workflow management process.
- The continued development and implementation of the NCAWARE on-demand warrant application.
- The partnering of DOJ and GCC on the development of a justice exchange module to consolidate information local records management system data into a single database.

d. Pilot Implementation

SAS is establishing and hosting the technical environment needed for the design, development and testing of the pilot program through April 30, 2009. This technical environment will support the iterative development process and a capacity for 30 concurrent users. The expansion of the development pilot application to a production environment for Wake County on May 1, 2009, will require parallel implementation activities.

The SAS project team will evaluate the production infrastructure to assess migration plans, technical infrastructure, resource requirements, business operations, and training. The implementation plan will outline alternatives for taking the pilot program live on May 1, 2009 either by hosting the environment at SAS or establishing the environment within the State. A decision by the State, on the most cost effective

approach, will be required well in advance of May 1st, as either option will require time to properly size the environment, procure and implement the platform, ensure the availability of technical support staff, provide training and establish business operations.

e. Project Governance

The implementation of integrated data creates a paradigm shift where single focused data becomes enterprise information. The pilot project team realizes the challenges that accompany this shift and the need to develop a new model of shared governance to support the integrated delivery of criminal justice information.

Over the next few months the State project team will develop a model framework for a governance program that will support the security and distribution of information, as well as the successful implementation and continuous improvement of the integrated criminal justice application.

To meet the governance requirement an Interagency Leadership Council will be established and will set direction and policy, adopt uniform standards and implement appropriate business strategies for support of the Criminal Justice enterprise information exchange. Senior leadership from both the Executive and Judicial branches are collaborating on the establishment of this council.

f. Juvenile Justice Information Sharing

Juvenile justice information is tightly secured. The integration of any juvenile information must comply with all State and Federal guidelines. The pilot project team is working with both DJJDP and AOC to understand the source of juvenile data within their applications and the content that can be integrated for the pilot application.

The juvenile information, existing within the AOC applications, will be integrated into the pilot application. Access to this data will be controlled with role based security defined by the AOC. The juvenile justice data that resides within the DJJDP application will not be integrated into the pilot as the use of this data requires additional analysis and possible legislation.

II (G). Next Steps

The following activities will be undertaken during the first quarter of 2009:

1. The SAS project team will deliver a Statement of Work (SOW) on January 5, 2009. The SOW will be reviewed by project team members, project stakeholders, and the Criminal Justice Pilot Program Steering Committee for approval by January 9, 2009. Upon approval, SAS will begin the iterative design, build and test phases of the pilot.
2. The State project team will develop a framework for governance and collaborate with the Interagency Leadership Council for ongoing development and operation of the integrated system.
3. The State project team will design a security plan based upon the security and accessibility rules defined by each agency.
4. The SAS project team will evaluate the production infrastructure to assess migration plans, technical infrastructure, resource requirements, business operations, and training to develop the implementation plan for taking the pilot live on May 1, 2009.

II (H). Funds – Criminal Justice Data Integration Pilot Program

FY 2008 - 2009

November 30, 2008			
	Appropriated	Actual Expended	Balance Available for the Criminal Justice Pilot Implementation
Reserves Funds FY 2008-2009.....	\$ 5,000,000		
Enterprise License for Judicial Branch.....		\$ 2,000,000	
State Project Team Expenditures		3,600	
Total	\$ 5,000,000	\$ 2,003,600	\$ 2,996,400

A. SESSION LAW 2007-323, HOUSE BILL 1473

AN ACT TO MAKE BASE BUDGET APPROPRIATIONS FOR CURRENT OPERATIONS OF STATE DEPARTMENTS, INSTITUTIONS, AND AGENCIES, AND FOR OTHER PURPOSES.

BEACON DATA INTEGRATION

SECTION 6.8.(a) The Office of the State Controller, in cooperation with the State Chief Information Officer, shall develop a Strategic Implementation Plan for the integration of databases and the sharing of information among State agencies and programs. This plan shall be developed and implemented under the governance of the BEACON Project Steering Committee and in conjunction with leadership in State agencies and with the support and cooperation of the Office of State Budget and Management. This plan shall include the following:

- (1) Definition of requirements for achieving statewide data integration.
- (2) An implementation schedule to be reviewed and adjusted by the General Assembly annually based on funding availability.
- (3) Priorities for database integration, commencing with the integration of databases that the BEACON Project Steering Committee identifies as most beneficial in terms of maximizing fund availability and realizing early benefits.
- (4) Identification of current statewide and agency data integration efforts and a long-term strategy for integrating those projects into this effort.
- (5) Detailed cost information for development and implementation, as well as five years of operations and maintenance costs.

While it is the intent that this initiative provide broad access to information across State government, the plan shall comply with all necessary security measures and restrictions to ensure that access to any specific information held confidential under federal and State law shall be limited to appropriate and authorized persons.

SECTION 6.8.(b) The State Controller shall serve as Chairman of the BEACON Project Steering Committee (Committee). The other members of the Committee shall include the State Chief Information Officer, the State Personnel Director, the Deputy State Budget Director, and the Department of Transportation's Chief Financial Officer.

SECTION 6.8.(c) Of the funds appropriated from the General Fund to the North Carolina Information Technology Fund, the sum of five million dollars (\$5,000,000) for the 2007-2008 fiscal year shall be used for BEACON data integration as provided by subsection (a) of this section. The Office of the State Controller, in coordination with State agencies and with the support of the Office of State Budget and Management, shall identify and make all efforts to secure any federal matching funds or other resources to assist in funding this initiative.

Funds authorized in this section may be used for the following purposes:

- (1) To support the cost of a project manager to conduct the activities outlined herein reportable to the Office of the State Controller.
- (2) To support two business analysts to provide support to the program manager and agencies in identifying requirements under this program.
- (3) To engage a vendor to develop the Strategic Implementation Plan as required herein.
- (4) To conduct integration activities as approved by the BEACON Project Steering Committee. The State Chief Information Officer shall utilize current enterprise licensing to implement these integration activities.

SECTION 6.8.(d) The Office of the State Controller, with the assistance of the State Chief Information Officer, shall present the Strategic Implementation Plan outlined by this section to the 2007 Regular Session of the General Assembly when it convenes in 2008 for action as deemed appropriate. This plan shall be completed not later than April 30, 2008.

Prior to the reconvening of the 2007 Regular Session of the General Assembly in 2008, the Office of the State Controller shall provide semiannual reports to the Joint Legislative Oversight Committee for Information Technology. Written reports shall be submitted not later than October 1, 2007, and April 1, 2008, with presentations of the reports at the first session of the Joint Legislative Oversight Committee on Information Technology following the written report submission date. The Joint Legislative Oversight Committee on Information Technology shall then report to the Joint Legislative Commission on Governmental Operations.

SECTION 6.8.(e) Neither the development of the Strategic Information Plan nor the provisions of this section shall place any new or additional requirements upon The University of North Carolina or the North Carolina Community College System.

Ratified July 31, 2007

B. SESSION LAW 2008-107, HOUSE BILL 2436

AN ACT TO MODIFY THE CURRENT OPERATIONS AND CAPITAL APPROPRIATIONS ACT OF 2007, TO AUTHORIZE INDEBTEDNESS FOR CAPITAL PROJECTS, AND TO MAKE VARIOUS TAX LAW AND FEE CHANGES.

CRIMINAL JUSTICE DATA INTEGRATION PILOT PROGRAM

SECTION 6.15.(a) The General Assembly finds that the State's Uniform Crime Reporting technology is based on procedures developed in the 1930s and a design plan developed in the late 1980s. Based on recent unfortunate events, it is abundantly clear that the State must establish a framework for sharing critical information, and the framework must be implemented as soon as possible. With improved access to timely, complete, and accurate information, the members of the General Assembly, leadership in State and local law enforcement agencies, law enforcement officers, and everyone working in the criminal justice system can enhance their ability to make decisions on behalf of the people of the State, with fewer decisions based on instinct or guesswork.

The General Assembly further finds that the April 2008 Beacon Report on a Strategic Plan for Data Integration recommends the development and implementation of a Crime Reporting Re-Design Project, a statewide crime analysis system designed to save time, save money, and save lives.

SECTION 6.15.(b) The Office of the State Controller, in cooperation with the State Chief Information Officer, and under the governance of the BEACON Project Steering Committee, shall by May 1, 2009, develop and implement a Criminal Justice Data Integration Pilot Program in Wake County in cooperation and communication with the advisory committee established pursuant to subsection (c) of this section and the leadership of State and local agencies. This pilot program shall integrate and provide up-to-date criminal information in a centralized location via a secure connection for use by State and local government. The pilot program vendor shall be selected by October 1, 2008.

While it is the intent that this initiative provide a broad new access to information across State government, the plan shall comply with all necessary security measures and restrictions to ensure that access to any specific information held confidential under federal and State law shall be limited to authorized persons.

SECTION 6.15.(c) The Advisory Committee to the Criminal Justice Data Integration Pilot program is hereby established. The Advisory Committee shall consist of the following members:

- (1) The District Attorney for Prosecutorial District 10, who shall serve as chair.
- (2) The senior resident superior court judge for Superior Court Districts 10A through 10D.
- (3) A Wake County magistrate designated by the senior resident superior court judge.
- (4) The Clerk of Superior Court of Wake County.
- (5) The sheriff of Wake County.
- (6) The judicial district manager for District 10 of the Division of Community Corrections.
- (7) The chief court counselor for District Court District 10.
- (8) The president of Duke University and the chancellor of The University of North Carolina, or their designees.

SECTION 6.15.(d) The Advisory Committee, the Department of Justice, the Administrative Office of the Courts, the Department of Juvenile Justice and Delinquency Prevention, the Department of Correction, the Department of Crime Control and Public Safety, the Department of Transportation, and local law enforcement agencies shall fully cooperate with the Office of the State Controller and the State Chief Information Officer, under the guidance of the BEACON Steering Committee, to identify the informational needs, develop a plan of action, provide access to data, and implement secure integrated applications for information sharing of criminal justice and corrections data.

SECTION 6.15.(e) Of the funds appropriated in this act, the sum of five million dollars (\$5,000,000) may be used to support the Criminal Justice Data Integration Pilot Program. Other funds available to BEACON may also be used for this purpose.

The Office of the State Controller, with the support of the Office of State Budget and Management, shall identify and make all efforts to secure any matching funds or other resources to assist in funding this initiative.

SECTION 6.15.(f) The Office of the State Controller, with the support of the Advisory Committee and the State Chief Information Officer, shall provide a written report of the plan's implementation progress to the House of Representatives and Senate Appropriations Committees, to the Joint Legislative Oversight Committee on Information Technology, and to the Fiscal Research Division on a quarterly basis beginning October 1, 2008.

BEACON DATA INTEGRATION

SECTION 6.16.(a) The Office of the State Controller, in cooperation with the State Chief Information Officer, shall begin implementation of the Beacon Strategic Plan for Data Integration, issued in April 2008. This plan shall be implemented under the governance of the BEACON Project Steering Committee and in conjunction with leadership in appropriate State agencies and with the support and cooperation of the Office of State Budget and Management.

While it is the intent that this initiative provide broad access to information across State government, the plan shall comply with all necessary security measures and restrictions to ensure that access to any specific information held confidential under federal and State law shall be limited to appropriate and authorized persons.

SECTION 6.16.(b) The State Controller shall serve as the Chairman of the BEACON Project Steering Committee. The other members of the committee shall be the State Chief Information Officer, the State Treasurer, the Attorney General, the Secretary of Correction, the Administrative Officer of the Courts, the State Budget Officer, and the Chief Financial Officer of the Department of Transportation.

SECTION 6.16.(c) Of the funds appropriated from the General Fund to the North Carolina Information Technology Fund, the sum of five million dollars (\$5,000,000) for the 2008-2009 fiscal year shall be used for BEACON data integration as provided by subsection (a) of this section. Funds to support this activity shall also be the unexpended balance from the funds appropriated for BEACON/Data Integration Funds in Section 5.3(b) of S.L. 2007-323. The Office of the State Controller, with the support of the Office of State Budget and Management, shall identify and make all efforts to secure any matching funds or other resources to assist in funding this initiative.

SECTION 6.16.(d) Funds authorized in this section may be used for the following purposes:

- (1) To support the cost of a project manager to conduct the activities outlined herein reportable to the Office of the State Controller.
- (2) To support two business analysts to provide support to the program manager and agencies in identifying requirements under this program.

- (3) To establish a Business Intelligence Competency Center (BICC), a collaborative organization comprised of both technical and business stakeholders, to support and manage the business need for analytics through the development of standards and best practices.
- (4) To engage a vendor to implement the Strategic Implementation Plan as required herein.
- (5) To conduct integration activities as approved by the BEACON Project Steering Committee. The State Chief Information Officer shall use current enterprise licensing to implement these integration activities.

SECTION 6.16.(e) Prior to the convening of the 2009 General Assembly, the Office of the State Controller shall provide semiannual reports to the Joint Legislative Oversight Committee for Information Technology. Written reports shall be submitted not later than October 1, 2008, and April 1, 2009, with presentations of the reports at the first session of the Joint Legislative Oversight Committee on Information Technology following the written report submission date. The Joint Legislative Oversight Committee on Information Technology shall then report to the Joint Legislative Commission on Governmental Operations.

SECTION 6.16.(f) Neither the implementation of the Strategic Information Plan nor the provisions of this section shall place any new or additional requirements upon The University of North Carolina or the North Carolina Community College System.

Ratified July 16, 2008

SESSION LAW 2008-118, HOUSE BILL 2438

AN ACT TO MAKE TECHNICAL, CLARIFYING, AND OTHER MODIFICATIONS TO THE STATE BUDGET.

SECTION 2.3. Section 6.16(b) of S.L. 2008-107 reads as rewritten:

"SECTION 6.16.(b) The State Controller shall serve as the Chairman of the BEACON Project Steering Committee. The other members of the committee shall be the State Chief Information Officer, the State Treasurer, the Attorney General, the Secretary of Correction, the Administrative Officer of the Courts, the State Budget Officer, the Secretary of Administration, and the Chief Financial Officer of the Department of Transportation."

Ratified July 18, 2008

C. Criminal Justice Pilot Program Committee Membership

BEACON Program Data Integration Steering Committee

Agency	Representatives
Office of the State Controller	David McCoy, State Controller – Committee Chair
Office of Information Technology Services	George Bakolia, State Chief Information Officer
Secretary of Corrections	Theodis Beck, Secretary of Corrections
Department of Administration	Britt Cobb, Secretary of Administration
Department of Transportation	Mark Foster, Chief Financial Officer
Department of the State Treasurer	Richard Moore, State Treasurer
North Carolina Department of Justice	Robin Pendergraft, Director, State Bureau of Investigations
Office of State Budget and Management	Charlie Perusse, State Budget Officer
Administrative Office of the Courts	Gregg Stahl, Senior Deputy Director

Advisory Committee

Representatives

Colon Willoughby, Wake County District Attorney - Committee Chair
 Maggie Brewer, 10th Judicial District Manager, Division of Community Corrections
 Howard Cummings, Wake County Assistant District Attorney
 N. Lorrin Freeman, Clerk of Superior Court, Wake County
 Barker French, appointee representing President of Duke University
 Sheriff Donnie Harrison, Wake County Sheriff's Office
 Diane Isaacs, Acting 10th Judicial District Manager, Division of Community Corrections
 Tim Montgomery, Chief Juvenile Court Counselor, 10th Judicial District
 Judge Robert Rader, Chief District Court Judge, 10th Judicial District
 Judge Donald Stephens, Senior Resident Superior Court Judge, 10th Judicial District
 Magistrate Judge Gary Wills, Chief Magistrate Judge, 10th Judicial District
 Chris Creech, Information Technology Manager for the Wake Co., Sheriff's Office
 Professor Joe Kennedy, University of North Carolina

Collaborative Agencies

Representation

Department of Justice
 Administrative Office of the Courts
 Department of Juvenile Justice and Delinquency Prevention
 Department of Correction
 Department of Crime Control and Public Safety
 Department of Transportation
 Local Law Enforcement Agencies

Working Project Team

Representation

Debbie Allen, GCC, NC SAVAN Coordinator
 George Ake, NIJ Representative
 Roger Banner, AOC, Applications Analyst Programmer
 Jennifer Barbour, AOC, NCAWARE/Magistrate - Systems Analyst
 Jordan Beltz, AOC, Applications Analyst Programmer Specialist
 Ronnie Blake, DOJ, IT Project Director
 Maggie Brewer, DOC, 10th Judicial District Manager
 Bob Brinson, DOC, Chief Information Officer
 Leah Bryant, AOC, Administrator for Application Development
 Dale Burleson, DOC Manager of Tech Services
 Carol Burroughs, OSC, Project Manager – Criminal Justice Pilot Program
 Paul Cash, AOC Application Analyst
 Jessica Chen, AOC, Data Base Administrator
 Cindy Cousins, DOC, Application Systems Manager
 Chris Creech Creech, Wake County Sheriff's Office, Information Technology Manager for the Wake Co.
 Brenda Freeman, DOT – DMV, Adjudication & Support Services, Asst. Director of Adjudication, DMV
 Lorrin Freeman, Wake County Courts, Clerk of Superior Court
 Barker French, Appointee Representing Duke University
 Sam Ghosh, AOC, Applications Analyst Programmer
 Bob Giannuzzi, EPMO, Project Management Advisor (PMA)
 Janet Greene, AOC, Asst. Administrator for Application Development
 Shannon Hanes, DJJDP, Business Analyst
 Rena Henry, DOT – IT, State Automated Drivers License System, Development Supervisor, DOT-IT
 Bill Hudson, AOC, Application Analyst
 Diane Isaacs, DOC, Acting 10th Judicial District Manager
 David Jones, GCC, NC SAVAN Executive Director
 Gary Kearney, DJJDP, Chief Information Officer
 David Keys, DOC, IT Director
 Nancy Kiesenhofer, AOC, Systems Analyst
 Stephen Lamm, DOT – DMV, Inspector/Fraud Special Operations, DMV

Working Project Team (continued)**Representation**

Mark Lang, DOJ, Security Manager
 Cliff Layman, AOC, Chief Information Officer
 Nancy Lowe, DOJ – IT, Chief Information Officer
 Basil McVey, AOC, Court Services Officer
 Kay Meyer, OSC, Project Director BEACON Data Integration
 Tom Newsome, OSC, Chief Deputy Controller
 Lorri Olszanowski, DOC, Database Administrator
 Troy Page, AOC, Assistant Legal Counsel
 Abraham Palmer, AOC, Application Analyst
 Mark Paxton, DOT, Chief Information Officer
 Wyatt Pettingill, DOJ-SBI, Assistant Special Agent in Charge
 Tim Pursell, Information Technology Services
 David Prince, DOJ, IT Project Director
 Mary Lu Rogers, DOC, Chief of Auxiliary Services
 Lucyna Schroeder, AOC, Application Analyst
 Gregg Stahl, AOC, Deputy Director
 Jimmy Tew, DOJ, Systems Programmer
 Wanda Thomas, AOC, TSD- Application Development Manager
 Carla Thorpe, DOT – IT, State Automated Drivers License System, Application Development Manager,
 George Tkach, DJJDP, Database Administrator
 Gene Vardaman, CJIN, Executive Director
 James Walston, DOT
 Barbara Webb, DOT – DMV, Adjudication & Support Services, Manager - Technical Services Branch
 Cynthia M. Williams, DOC – DCC, Chief of Support Services
 Bill Willis, ITS, Deputy SCIO- Enterprise
 Lik Yam, AOC, Application Analyst

D. Criminal Justice Advisory Committee Report – September 24, 2008**Criminal Justice Data Integration Project
Initial Report of the Advisory Committee**

Section 16.5 of S.L. 2008-107 established the Criminal Justice Data Integration Pilot Program for the purpose of delivering timely, complete and accurate information to law enforcement and those working within the criminal justice system in order to improve their ability to make decisions that impact public safety. Pursuant to this legislation, an advisory committee was established for the purpose of identifying the informational needs of criminal justice professionals.

The Advisory Committee of the Criminal Justice Data Integration Pilot program consists of the Wake County District Attorney, the Senior Resident Superior Court Judge for the 10th Judicial District, the Chief District Court Judge for the 10th Judicial District, the Wake County Clerk of Superior Court, a Wake County magistrate, the Wake County Sheriff, the 10th Judicial District Manager for the Department of Community Corrections, the 10th Judicial District Chief Court Counselor and the designees of the President of Duke and the Chancellor of the University of North Carolina at Chapel Hill. The Advisory Committee members, in consultation with other individuals working within the criminal justice system, have conducted a preliminary evaluation of their informational needs and submit the following report.

Executive Summary

Through an analysis of information needs by each agency within the criminal justice system, the Advisory Committee found that all participating agencies would benefit from access to the following information:

- Positive Offender ID
- Comprehensive, easy to read Criminal History
- Outstanding warrants and orders for arrest
- Probation status
- Juvenile offense history
- Domestic Violence Protective Order status
- Sex offender status
- Immigration status

There was additional information that one or more of the entities would find useful in making decisions. This is outlined in Appendix A of this report.

Advisory Committee members determined that access to information through two different methods was necessary. Criminal Justice professionals need access to information by looking up individual offenders (Offender Search). Criminal justice

professionals who are responsible for a caseload need automatic notification when the status of an offender on their caseload changes (Offender Watch).

For the purpose of this report, criminal justice professional shall include criminal justice and correction professionals.

Introduction

Professionals within the criminal justice system make decisions daily that impact public safety. These decisions include, but are not limited to, whether to charge and/or arrest an offender, whether to release an offender on bail, how to prosecute a case, and what sentence to impose. In order to successfully manage the high volume of cases within the system, criminal justice professionals often have to make decisions quickly relying on readily available information. The purpose of this project is to increase access to reliable information about offenders. The project can meet this goal by both making existing information easier to utilize and by broadening the scope of information available to each criminal justice professional.

The type of information needed varies based on the responsibilities of individual entities within the criminal justice system. After receiving input from each entity, the Advisory Committee has analyzed the identified information deficiencies and determined common needs. Because there is significant overlap in information that is required to make informed decisions, the Committee recommends that the project initially focus on providing that information which is set forth below. The Committee further recommends that the project be developed and implemented in a manner that permits future expansion and customization.

The Advisory Committee's recommendation would make criminal justice information available in two different components: Offender Search, access to information by offender, and Offender Watch, notification of change in offender status for criminal justice professionals carrying a caseload.

Offender Search: Advisory Committee members identified a need to be able to easily access specific information about an offender in order to make informed decisions. Members suggested that this information be provided in summary form on an easy to read screen that would allow the criminal justice professional to access more detailed information by clicking on various field alternatives.

- **Positive ID**

- **Problem Identified:** Law Enforcement, prosecutors and judges all indicated that it is vitally important to be able to confirm that the person in their presence is in fact the person of interest. It is also necessary to be able to determine whether additional pending cases with the defendant's name belong to the defendant. Identifying defendants based on their name has become increasingly problematic as the number of immigrants and the use of aliases has increased. Currently there is no unique identifier that is constant in all criminal justice databases.
- **Information Delivery Proposal:** A picture of the offender derived from DMV, jail or Department of Correction records and an indicator of positive ID based on matching available identifiers across databases should be part of the offender search screen. Pending cases and/or warrants should appear on the summary screen and could be categorized as positive, reliable or possible matches with the offender.

- **Complete, Easy to Read Criminal History**

- **Problem Identified:** All members indicated a need for comprehensive criminal history information on an offender that was easy to read and understand. Each member expressed some level of dissatisfaction with the current court system database as a means to gather this information. Currently criminal justice professionals have to search multiple sources (ACIS state and local, and DCI) to gather criminal history information. The information is formatted in a manner that is difficult to understand.
- **Use of Information:** The extent and seriousness of an offender's prior record sheds light on the threat the offender poses to public safety and the likelihood of the offender to recidivate. A defendant's prior record is considered in setting conditions of release, in determining what, if any, plea offer to negotiate, and in determining a defendant's sentence.
- **Information Delivery Proposal:** The District Attorney's office requested automatic calculation of an offender's prior record level. To address this requirement, an offender's prior record level could appear on the offender search screen while a more detailed criminal record could be accessed by

clicking on the Prior Record Level. It was suggested that criminal history information be made available to be reviewed in either chronological order or by offense category (i.e., motor vehicle offense, offense involving weapon, property offense, drug offense). In addition to past convictions, information concerning cases for which a defendant has been called and failed or cases that are in dismissal with voluntary leave status should also be made available.

- **Outstanding Warrants and Orders for Arrest**

- **Problem Identified:** Law Enforcement Officers (LEO) do not have easy access to a database in which all outstanding warrants and/or orders for arrest are entered. Consequently they may inadvertently let an offender go who should be apprehended. Additionally, magistrates do not have easy access to outstanding orders for arrest/warrants that could be served on a defendant who has been brought before them. As a result, defendants who have active warrants or orders for arrest in other cases are released from custody.
- **Use of Information:** Reliable, current information on existing warrants and orders for arrest would allow for offenders to be more readily apprehended. If outstanding warrants and pending orders for arrest could be readily identified and obtained, they could be served on the defendant which would allow for unresolved cases to be disposed of in a more efficient manner.
- **Information Delivery Proposal:** An offender search screen could indicate the existence of outstanding warrants and pending orders for arrest. It is recommended that the offender search screen be developed to interface with the Administrative Office of the Court's technology application NCAWARE, which is currently being piloted in Johnston County, which, when fully operational, will provide an electronic repository containing all outstanding warrants and pending orders for arrest and will allow for a stored document to be printed for service on an offender.

- **Probation Status**

- **Problem Identified:** Criminal justice professionals who are not in the corrections field do not have a means to easily determine if an offender is on probation or to assess an offender's performance while under supervision in the community. Without access to probation information, Law Enforcement Officers may come in contact with a person of interest who has absconded from probation without knowing the person's status; prosecutors may recommend a probationary status for an offender who has not been compliant while on probation; or, judges may sentence an

offender to a supervision level that has been ineffective in managing a defendant.

- **Use of Information:** Information about an offender's performance on probation provides insight into whether community supervision is an effective way to manage the offender. Prosecutors would consider a defendant's performance on probation in determining what type of plea to negotiate, if any. Judges would rely on information about a defendant's past performance on probation in determining what sentence to impose in a case.
- **Information Delivery Proposal:** Probation status could be indicated as active, inactive or N/A on the offender search screen. Additional probation information such as level of supervision (unsupervised, supervised, intensive), number and basis of probation violations, past and/or current compliance with supervision, identity of supervising officer, the county where the defendant is being supervised and frequency of contacts with probation officer could be available through a link off the offender search page.

- **Juvenile offense history**

- **Problem Identified:** Access to juvenile offense history is limited and cumbersome despite the fact that N.C.G.S. 7B-3000 (e) allows the existence of an adjudication of a felony offense to be considered by law enforcement, magistrates and prosecutors in making decisions about pretrial release and plea negotiations. Too often a defendant has an extensive record as a juvenile but is treated as a first offender when charged as an adult at age 16 or above. Despite the fact that the defendant may have been on probation as a juvenile or was sentenced to a juvenile detention facility, the prosecutor and the judge are typically unaware of a defendant's involvement with juvenile court. Currently the Division of Juvenile Justice and Delinquency Prevention operates a web-based information system that includes detailed juvenile case information in the court system but none of the criminal justice system agencies at the adult level may access this data.
- **Use of Information:** The existence of an extensive or serious juvenile record provides insight into the threat the offender poses for the community and the likelihood the offender will recidivate. Access to this information could impact the prosecutor's decision to negotiate a plea in a case and a judge's sentencing decisions.
- **Information Delivery Proposal:** Current law may restrict easy access to some juvenile information. If the law permitted, the existence of a juvenile record could be indicated on the summary screen with a more detailed

report of juvenile court involvement available by accessing a link to information.

- **Domestic Violence Protective Order Status**

- **Problem Identified:** The existence of a domestic violence protective order is not always known by magistrates, prosecutors, and judges who are dealing with a domestic violence offender. Because the process for obtaining a domestic violence protective order is civil, criminal justice professionals must access civil court records to determine if a domestic violence protective order exists. A registry of domestic violence protective orders is maintained by the Sheriff but that information is not readily available to magistrates, prosecutors and judges.
- **Use of Information:** Magistrates and judges consider the existence of a domestic violence protective order in making decisions about conditions of pretrial release. Prosecutors may rely on the existence of the orders in prosecuting domestic violence cases. Judges may also consider the history of domestic violence protective orders in determining an appropriate sentence.
- **Information Delivery Proposal:** The existence of a domestic violence protective order against the defendant could be indicated on the offender search screen. Information pertaining to this order such as the date the order was entered and the complainant could be accessed through a secondary screen.

- **Sex Offender Status**

- **Problem Identified:** Law enforcement officers need information concerning an offender's status when responding to calls of persons on school grounds, playgrounds, etc. A case that otherwise appears to be a simple trespass takes on additional significance if the party is a sex offender and the presence is a violation of conditions.
- **Use of Information:** Law enforcement would rely on this information in determining whether an offender is in violation of state law concerning sex offenders. A violation of sex offender prohibitions may result in a separate charge and may impact conditions of pretrial release.
- **Information Delivery Proposal:** The offender search summary screen could include an indicator of whether the defendant is a registered sex offender.

- **Immigration Status**

- **Problem Identified:** The Wake County Sheriff's Office recently began a 287(g) program, commonly referred to as ICE (Immigration and Customs Enforcement). Under this program, offenders who are arrested may be detained until immigration enforcement officers determine their immigration status. Offenders who are illegal immigrants may be subject to deportation. Information concerning whether a defendant is subject to a detainer or whether a defendant is scheduled to be deported is not readily available to criminal justice professionals.
- **Use of Information:** The fact that an offender is subject to a detainer or is scheduled for deportation may impact a prosecutor's decision to proceed with a case and a judge's sentence.
- **Information Delivery Proposal:** The offender search summary screen could include an immigration indicator with a link to immigration detail.

Offender Watch

Advisory Committee members expressed a need for criminal justice professionals to receive notice of information pertaining to an offender on an assigned caseload without having to do an individual offender search. This component of the project would allow users to enter identifying information for individuals on their caseload so that they could be electronically notified when there is a change in the offender status. For example, this would allow for automatic notification to a probation officer when an offender on his caseload has a new charge, a contact with law enforcement, or is booked into a local jail.

Sources of Information

The information that would form the basis for Offender Search and Offender Watch largely is in existence in individual agency databases. Possible data sources that could provide information include:

Local jail and Sheriff's databases

ACIS (Administrative Office of the Courts system criminal database)

OPUS (Department of Corrections database)

DCI (State Bureau of Investigation Division of Criminal information database)

DMV (Division of Motor Vehicles database)

NC-JOIN (Department of Juvenile Justice and Delinquency Prevention database)

The Committee learned through talking with various criminal justice professionals that there are a number of data sharing initiatives in existence. The Committee did not receive information about these initiatives or view demonstrations. The Committee

recommends that the BEACON data integration team review existing programs to determine if they meet this project's objectives.

Conclusion

In formulating its report, the Advisory Committee has attempted to identify that information which will best assist law enforcement officers, magistrates, prosecutors, judges, probation officers and juvenile court counselors in making decisions that impact public safety. The Committee recognizes and anticipates that additional information needs may be identified as the project moves forward. The Committee appreciates the commitment of the North Carolina General Assembly, the Office of the State Controller, the Chief Information Officer and the BEACON Program Steering Committee to making this project a reality and stands ready to assist in its development.

APPENDIX A

One or more members of the Advisory Committee expressed a desire to have access to the following information:

- Incident and Crime Reports (including information that might statutorily enhance sentencing)
- Department of Correction records (including gang affiliation while in custody, visitors and associates while in custody)
- Out-of-State criminal history, probation and juvenile records
- Employment records
- Mental health history (involuntary commitments)
- Federal probation information
- Jail records (including amount of time in jail awaiting trial)
- Comprehensive suspect information (medical records, school records, DSS)
- 911 information
- Universal precautions (for detention purposes)